

**UNITED STATES DISTRICT COURT  
FOR THE SOUTHERN DISTRICT OF NEW YORK**

In re:

PB LIFE AND ANNUITY CO.  
LTD, et al,

*Debtor in Foreign Proceeding.*

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Case No. 1:22-CV-05122

UNIVERSAL LIFE INSURANCE  
COMPANY,

*Plaintiff-Appellant,*

v.

GREG E. LINDBERG,  
individually, et al.,

*Defendants-Appellees.*

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**NOTICE OF APPEAL TO THE UNITED STATES COURT OF APPEALS  
FOR THE SECOND CIRCUIT**

Notice is hereby given that Greg Lindberg, Academy Financial Assets, LLC, Alpine Capital, LLC, Atlas Financial Investments, LLC, Augusta Asset Management, LLC, Capital Assets Management I, LLC<sup>1</sup>, Capital Assets Management II, LLC, Capital Assets Management III, LLC, CSI Interco, LLC, Eli Global, LLC, GBI Group, LLC, GBIG Capital, LLC, GBIG Holdings, LLC<sup>2</sup>, Global Insurance Capital, LLC, Hampton Asset

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<sup>1</sup> Lindberg Defendants assert that this entity appears to be misidentified in Plaintiff's First Amended Complaint.

<sup>2</sup> Lindberg Defendants assert that this entity is incorrectly identified as a corporation in Plaintiff's First Amended Complaint.

Management, LLC<sup>3</sup>, Iron City Asset Management, LLC<sup>4</sup>, Jackson Assets Management, LLC<sup>5</sup>, Kite Asset Management, LLC<sup>6</sup>, New England Capital, LLC, Parallel Capital Assets, LLC, Tybee Island Asset Management, LLC<sup>7</sup>, AGH Parent, LLC, ASiM Holdings, LLC, ASL Holdings, LLC, BLH Capital, LLC, Capital Assets Fund I, LLC, Capital Assets Fund II, LLC, Chatsworth Asset Management, LLC, Drummond Group, LLC, Dunhill Holdings, LLC, Englert Holdings, LLC, Flagship Holdings, LLC, Fortrex, LLC, Gilford Asset Management, LLC, Global Growth Holdings, Inc., Greenfield Capital, LLC, Healthlink Holdings, LLC, Integrity EMR Holdings, LLC, Integrity EMR, LLC, iTech Funding, LLC, Netherlands Insurance Holdings, Inc., NIH Capital, LLC, Sedwick, LLC, and UKAT Holdings, LLC (“Lindberg Defendants”), Defendants-Appellees in the above-captioned case, hereby appeal to the United States Court of Appeals for the Second Circuit from the Order of the United States District Court for the Southern District of New York entered on July 31, 2023 in the above-style reversing the United States Bankruptcy Court for the Southern District of New York’s (“Bankruptcy Court”) decision dismissing Plaintiff Universal Life Insurance Company’s (“ULICO”) action against Defendants for lack of

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<sup>3</sup> Lindberg Defendants assert that this entity is incorrectly identified as a corporation in Plaintiff’s First Amended Complaint.

<sup>4</sup> Lindberg Defendants assert that this entity is incorrectly identified as a corporation in Plaintiff’s First Amended Complaint.

<sup>5</sup> Lindberg Defendants assert that this entity is incorrectly identified as a corporation in Plaintiff’s First Amended Complaint.

<sup>6</sup> Lindberg Defendants assert that this entity is incorrectly identified as a corporation in Plaintiff’s First Amended Complaint.

<sup>7</sup> Lindberg Defendants assert that this entity is incorrectly identified as a corporation in Plaintiff’s First Amended Complaint.

subject matter jurisdiction and remanding to the Bankruptcy Court for further proceedings. [Doc. 45]. For the avoidance of doubt, this appeal encompasses the final judgment and all earlier orders that merge into the judgment.

The parties to the order appealed from and the names and addresses of their respective attorneys are as follows:

1. Party: Plaintiffs:

(1) Universal life Insurance Company

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2. Party: Defendants

(1) Defendant Chris Herwig

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(2) Defendants Atlantic Coast Life Insurance Company and Sentinel Security Life Insurance Company

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(3) "Lindberg Defendants" consisting of Defendants Greg Lindberg, Academy Financial Assets, LLC, Alpine Capital, LLC, Atlas Financial Investments, LLC, Augusta Asset Management, LLC, Capital Assets Management I, LLC, Capital Assets Management II, LLC, Capital Assets Management III, LLC, CSI Interco, LLC, Eli Global, LLC, GBI Group, LLC, GBIG Capital, LLC, GBIG Holdings, LLC, Global Insurance Capital, LLC, Hampton Asset Management, LLC, Iron City Asset Management, LLC, Jackson Assets Management, LLC, Kite Asset Management, LLC, New England Capital, LLC, Parallel Capital Assets, LLC, Tybee Island Asset Management, LLC, AGH Parent, LLC, ASiM Holdings, LLC, ASL Holdings, LLC, BLH Capital, LLC, Capital Assets Fund I, LLC, Capital Assets Fund II, LLC, Chatsworth Asset Management, LLC, Drummond Group, LLC, Dunhill Holdings, LLC, Englert Holdings, LLC, Flagship Holdings, LLC, Fortrex, LLC, Gilford Asset Management, LLC, Global Growth Holdings, Inc., Greenfield Capital, LLC, Healthlink Holdings, LLC, Integrity EMR Holdings, LLC, Integrity EMR, LLC, iTech Funding, LLC, Netherlands Insurance Holdings, Inc., NIH Capital, LLC, Sedwick, LLC, and UKAT Holdings, LLC

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(4) "Flowery Defendants" consisting of Defendants Atkinson, LLC, Begonia Eight, LLC, Blue Daffodil, LLC, Blue Violet, LLC, Carnation Three, LLC, Chrysanthemum Two, LLC, Dahlia Ten, LLC, Daisy Seven, LLC, Epping, LLC, Flowery Branch, LLC, Forsyth, LLC, Geranium Two, LLC, Hookset, LLC, Lilac Six, LLC, Macon, LLC, Red Begonia, LLC, Weare, LLC, Yellow Lotus, LLC, and Yellow Sunflower, LLC

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(10) “Unrepresented Defendants” Fleet Assist Interco Limited; Pershing, LLC; Satori Waters, LLC; Somerworth, LLC; Standard Advisory Services, Ltd., Standard Financial Limited; Standard Investment Capital, Ltd.; Treatment Resources of Margate, Inc.; Triton Financial Limited; UKAT Investment Limited; UBS Financial Services, Inc.; Credit Suisse AG Cayman Islands Branch; and the Bryn Mawr Trust Company.

### 3. Interested Party

(1) AAPC Holdings, LLC

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This the 30th day of August, 2023.

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*Attorneys for Lindberg Defendants*

**CERTIFICATE OF SERVICE**

I hereby certify that I electronically filed the foregoing with the clerk of Court using the CM/ECF system which will send electronic notification of such filing to all other parties who have filed a notice of appearance.

Dated: August 30, 2023

/s/ William G. Whitehill  
William G. Whitehill